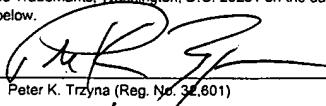




I hereby certify that this correspondence is being filed by United States Postal Service as first class mail in an envelope with sufficient postage and addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 on the date indicated below.

Signed:   
Peter K. Trzyna (Reg. No. 32,801)

Date: 15 Sept 2000

PATENT

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Inventors : Anthony F. Herbst and Wayne F. Perg  
Serial No. : 09/197,908  
Filed : November 23, 1998  
For : DIGITAL COMPUTER SYSTEM AND METHODS  
FOR MANAGING AN AUCTION MARKET FOR  
PREFERRED-RETURN SECURITIES  
Group Art Unit : 2761  
Examiner : Retta Yehdega

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The Commissioner of Patents and Trademarks  
Washington, D.C. 20231

### RESPONSE

SIR:

In response to the Office Action mailed 15 June 2000, in the above-referenced patent application, please enter the enclosed and reconsider the application in view thereof and the remarks set forth below.

#### I. REMARKS

The Examiner is requested to reconsider the application in view of the enclosed and the following remarks.

##### A. Paragraphs of Objections and/or Rejections

###### 1. Paragraph 1 of the Office Action

In paragraph 1 of the Office Action, the Examiner contends that the response to papers filed on April 3, 2000.

The contention is respectfully traversed. The papers were mailed on March 29, 2000, as shown on the mailing certificate on the face of the papers.

###### 2. Paragraph 2 of the Office Action

In paragraph 2 of the Office Action, the Examiner has rejected claims 1, 16-20 pursuant to 35 U.S.C. Sec. 112, second paragraph.

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